

WITHDRAWN - RETURNED WITHOUT ACTION

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2017-0002

Request for Records Disposition Authority

Records Schedule Number DAA-0241-2017-0002
Schedule Status Returned Without Action

Agency or Establishment Patent and Trademark Office
Record Group / Scheduling Group Records of the Patent and Trademark Office
Records Schedule applies to Major Subdivision
Major Subdivision USPTO Ombudsman Office
Schedule Subject USPTO Office of the Ombudsman Records
Internal agency concurrences will be provided No

Background Information The records concern the functions and administration of the USPTO Office of the Ombudsman ("Office"). The Office is an independent, confidential, informal, and impartial conflict resolution practitioner, and it maintains all communications with those seeking its assistance in strict confidence. The Office takes all reasonable steps to safeguard the anonymity and confidentiality of its inquirers in accordance with 5 U.S.C. § 571-584 and International Ombudsman Association standards. This includes protecting the identity of any individual contacting the Office as well as any information that could be used to identify that individual.

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
0	0	0	7

GAO Approval

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: **DAA-0241-2017-0002**

Outline of Records Schedule Items for DAA-0241-2017-0002

Sequence Number	
1	Ombudsman Official Correspondence Disposition Authority Number: DAA-0241-2017-0002-0001
2	Speeches and Presentations Disposition Authority Number: DAA-0241-2017-0002-0002
3	Inquiries and Resolutions Disposition Authority Number: DAA-0241-2017-0002-0003
4	Inquiries – No Action Disposition Authority Number: DAA-0241-2017-0002-0004
5	Statistical Tracking Records Disposition Authority Number: DAA-0241-2017-0002-0005
6	Ombudsman Reports, Policies and Procedures Disposition Authority Number: DAA-0241-2017-0002-0006
7	Congressional Correspondence Disposition Authority Number: DAA-0241-2017-0002-0007

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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION
Request for Records Disposition Authority

Records Schedule: DAA-0241-2017-0002

Records Schedule Items

Sequence Number	
1	<p>Ombudsman Official Correspondence</p> <p>Disposition Authority Number DAA-0241-2017-0002-0001</p> <p>Non-query specific correspondence, documenting official communications with such entities as the United States Ombudsman Association, International Ombudsman Association, and Coalition of Federal Ombudsman.</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cutoff files at the end of each calendar year in which activity has been completed</p> <p>Retention Period Destroy 3 year(s) after cutoff</p> <p>Additional Information</p> <p>GAO Approval Not Required</p>
2	<p>Speeches and Presentations</p> <p>Disposition Authority Number DAA-0241-2017-0002-0002</p> <p>Official copies of briefing materials, speeches, testimonies, accepted invitations, presentations and other records documenting the mission-critical work of the Ombudsman and their designee(s).</p> <p>Final Disposition Temporary</p> <p>Item Status Withdrawn</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>Disposition Instruction</p>

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Request for Records Disposition Authority

Records Schedule: **DAA-0241-2017-0002**

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Cutoff Instruction Cutoff files at the end of each calendar year in which activity has been completed.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

Inquiries and Resolutions

Disposition Authority Number DAA-0241-2017-0002-0003

Records Include inquiries from the public, reviews and analysis, correspondence, status updates, resolutions, and responses.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

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Disposition Instruction

Cutoff Instruction Cutoff files when activity has been completed.

Retention Period Destroy immediately after closure

Additional Information

GAO Approval Not Required

Inquiries – No Action

Disposition Authority Number DAA-0241-2017-0002-0004

Records created and received in the course of USPTO business that did not result in any analysis by the USPTO Office of the Ombudsman.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

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Request for Records Disposition Authority

Records Schedule: **DAA-0241-2017-0002**

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Cutoff Instruction Cutoff files when no action was taken. Destroy/delete upon closure.

Retention Period Destroy immediately after closure

Additional Information

GAO Approval Not Required

Statistical Tracking Records

Disposition Authority Number DAA-0241-2017-0002-0005

Records created to track the number and subject matter of inquiries, including spreadsheets and data collection activity.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff at the end of each calendar year.

Retention Period Destroy 3 year(s) after cutoff

Additional Information

GAO Approval Not Required

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Ombudsman Reports, Policies and Procedures

Disposition Authority Number DAA-0241-2017-0002-0006

Periodic and annual reports to internal and external officials, and to Congress. Records of the high-level management, oversight and direction of the Office of the Ombudsman to include policies procedures, projects and management decisions.

Final Disposition Permanent

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

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Records Schedule: DAA-0241-2017-0002

Cutoff Instruction Cut off files at the end of each calendar year or after being superseded.

Transfer to the National Archives for Accessioning Transfer to the National Archives 15 year(s) after cutoff

Additional Information

First year of records accumulation 2015

What will be the date span of the initial transfer of records to the National Archives? From 2015 To 2016

How frequently will your agency transfer these records to the National Archives? Every 1 Years

	Estimated Current Volume	Annual Accumulation
Electronic/Digital	1 MB	5 MB
Paper		
Microform		
Hardcopy or Analog Special Media		

Congressional Correspondence

Disposition Authority Number DAA-0241-2017-0002-0007

Correspondence from and with members of Congress, consisting of congressional program management questions and comments, and requests for testimony.

Final Disposition Temporary

Item Status Withdrawn

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cutoff files at the end of each calendar year in which activity has been completed.

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Retention Period	Destroy 3 year(s) after cutoff
Additional Information	
GAO Approval	Not Required

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Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
08/04/2017	Certify	Patricia Capers	Records Officer	Office of the Chief Information Officer - Records Management
08/08/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
08/31/2017	Submit For Certification	Patricia Capers	Records Officer	Office of the Chief Information Officer - Records Management
09/07/2017	Certify	Patricia Capers	Records Officer	Office of the Chief Information Officer - Records Management
09/20/2017	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
10/05/2017	Submit For Certification	Patricia Capers	Records Officer	Office of the Chief Information Officer - Records Management
10/05/2017	Certify	Patricia Capers	Records Officer	Office of the Chief Information Officer - Records Management
01/09/2018	Return for Revision	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services
04/03/2018	Return Without Action	Valerie Terray	Archives Specialist	National Archives and Records Administration - Records Management Services

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